



Attorney's Docket No.: 09857-062001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Dean Furbush et al. Art Unit :
Serial No. : 09/898,515 Examiner :
Filed : July 3, 2001
Title : ORDER EXECUTION PROCESSING FOR AUTOMATED MARKET SYSTEM

Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed.

Under 35 USC §120, this application relies on the earlier filing date of application serial number 09/401,872, filed on September 23, 1999. The following references were submitted to and/or cited by the Office in the prior application and, therefore, are not provided in this application:

Desig. IDs:

U.S. Patent Documents
5,297,032, March 22, 1994

Foreign Patent Documents
WO 91/14231, September 19, 1991
WO 98/13778, April 2, 1998

Other Documents

Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., 2/5/99, 61

pps.

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

April 24, 2003
Date of Deposit

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"Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the
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Commission, Vol. 64, No. 47, March 11, 1999, pps. 12198-202, XP002171885
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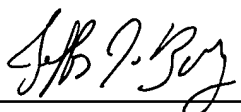
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Commission, Vol. 64, No. 77, April 22, 1999, pps. 19844-49, XP002171896 (198.17.75.65/fril/).

This statement is being filed within three months of the filing date of the application or
before the receipt of a first Office action on the merits. Please apply any charges or credits to
Deposit Account No. 06-1050, referencing Attorney Docket No. 09857-062001.

Respectfully submitted,

Date: April 24, 2003



Jeffrey J. Barclay
Reg. No. 48,950

Fish & Richardson P.C.
225 Franklin Street
Boston, Massachusetts 02110-2804
Telephone: (617) 542-5070
Facsimile: (617) 542-8906